

## General Instructions

- ✓ The Annual Report is available in electronic form on the Colorado Public Utilities Commission's web site at:

<http://www.colorado.gov/cs/Satellite?c=Page&childpagename=DORA-PUC%2FDORALayout&cid=1251633823994&p=1251633823994&pagename=CBONWrapper>

- ✓ The Annual Report has been revised. Please do not use a prior year's version.
- ✓
- ✓ The electronic version of the Annual Report includes formulas; no calculations are necessary. Lines containing formulas are highlighted in yellow on the report. Those lines have been password protected; please do not attempt to enter numerical values on those lines. If you are completing the Annual Report manually, please continue to compute totals for each section.
- ✓ The Department of Revenues form DR 0525 is now a standalone form and no longer contained in the Annual Report excel workbook. DR 0525 forms must be filed with the Colorado Department of Revenue on or before May 1, 2014. After completing the DR0525, print and sign it and file it in 14M-0097 with your annual report. You must also mail it to:

Colorado Department of Revenues  
PUC: Excise Tax Accounting Section  
1375 Sherman Street, Room 237  
Denver, CO 80261

- ✓ If you have any questions regarding completion of the annual report or if you do not have access to the Internet and need the forms mailed to you, please contact Judy Swinnerton at 303-894-2856.
- ✓
- ✓ **Filing Deadline**
- ✓ Annual Reports shall be filed no later than April 30, 2014, for the reporting period ended December 31, 2013.
- ✓ If you are not able to file the Annual Report by the April 30, 2014, deadline, you must file a Motion for an Extension of Time to File for a period not to exceed 30 days. The motion must state good cause why you are unable to meet the filing deadline. If granted, this extension of time **shall not apply** to the deadline for filing the copy of the DR 0525.

## How to File the Annual Report

- ✓ Please file with the Commission as follows:
- ✓
- ✓ E-Filing
- ✓ To file electronically, each regulated utility must have at least one Filer Administrator. If your utility is currently not set up to file through E-Filings, contact Alison Torvik at [alison.torvik@state.co.us](mailto:alison.torvik@state.co.us) or (303) 894-2885 or Cathy Lopez at [cathy.lopez@state.co.us](mailto:cathy.lopez@state.co.us) or (303) 894-2029.
- ✓
  - a. Each company is *strongly encouraged* to have one of its **designated filers submit an executable electronic copy (e.g. Excel)** in the appropriate proceeding number (**14M-0097T**) via the **Commission's E-Filings system at: <https://www.dora.state.co.us/pls/efi/EFI.homepage>.**
  - b. Once in the E-Filings system, select the *document type* "Annual Report" and in the *title* field insert the Company's name, along with "2013 Annual Report". E-filing is a fast, efficient, and less costly way to submit filings to the Public Utilities Commission.
  - c. The filing must include the annual report, your most recent CPA audit report, and a copy of the Colorado Department of Revenue's form DR 0525 ("Report of Gross Operating Revenues"). Note, please use the proceeding number, **14M-0097T** for the proceeding number when E-filing.
  - d. Annual reports that are E-filed are not required to have it notarized.
  - e. If you did not submit an executable an executable electronic copy (e.g. Excel) in E-Filing, then you must also send an excel version of your annual report to the following e-mail address: [Judith.Swinnerton@state.co.us](mailto:Judith.Swinnerton@state.co.us). **DO NOT E-MAIL A NON-EXECUTABLE (e.g., PDF) FILE.** E-mailing a copy of your annual report does not make you compliant with filing requirements.

### Filing paper copies

- ✓ If filing paper copies, please submit an original and a copy of these forms to the following address at the applicable time:

Doug Dean  
Director  
Colorado Public Utilities Commission  
1560 Broadway, Suite 250  
Denver, CO 80202

Paper copies are required to be notarized in the Company Name section.

You must also send an excel version to the following e-mail address: [Judith.Swinnerton@state.co.us](mailto:Judith.Swinnerton@state.co.us). **DO NOT E-MAIL A NON-EXECUTABLE (e.g., PDF) FILE.** E-mailing a copy of your annual report does not make you compliant with filing requirements.

## Audit Authority

The Commission reserves the right to inspect the records and documents of any public utility, and to examine under oath any officer, agent, or employee of such public utility in relation to the business and affairs of said public utility, pursuant to the audit authority granted to the Commission in § 40-6-106, C.R.S.

## Changes in the 2013 Annual Report

### Confidentiality

Confidentiality rules were changed with Decision No. C13-0576. Annual reports are presumed to be available for public inspection per 4 CCR 723-1 1100(n) and you will no longer be able to file your annual reports on a confidential basis. You may file a motion for highly confidential protection per 4 CCR 723-1 1101(c).

Auditor's reports filed in the proceeding can be filed confidential.

### Commission Designated Agent

The Commission is requesting that the Company identify a Commission designated agent(s) in the Company Name section of the annual report. A maximum of two Commission designated agents are allowed as long as one has a physical address in Colorado. A Commission designated agent is a person upon whom service of process, notices, or orders may be made for the carrier. This is distinct from any agreement of a carrier to accept service through the Commission's E-filing System. If a carrier has identified a filer administrator in the E-filing system, then that carrier will be served via E-filings to that contact and not via mail to the Commission designated agent.

The Commission will send any future notifications of annual reports, Colorado High Cost Support Mechanism (CHCSM) filings, etc. to the Company's E-filing filer administrator, or if a Company does not have an E-filing filer administrator, to one Commission designated agent.

## Carrier Specific Instructions

### Specific Incumbent Local Exchange Carrier Reporting Instructions

- ✓ The Annual Report for Class A and B telephone companies shall be filed by all companies operating telephone exchanges and having annual operating revenues of less than \$100 million.
- ✓ Information required in the Annual Report shall be taken from the accounts and records prescribed in 47 C.F.R., Part 32. The definitions and instructions contained therein shall also apply to this report, whenever applicable.
- ✓ To facilitate the performance of Staff compliance audits, please report account balances in accordance with your accounting records (i.e., Class A or B accounts).

✓

**Specific Competitive Local Exchange Carrier, Emerging Competitive Telecommunications Services, Facilities-Based Interexchange Carrier, Transport Providers, Operator Service Provider, Wholesale Provider and Registered Toll Reseller Instructions**

- ✓ This annual report must be completed by all Competitive Local Exchange Carrier (CLEC), Emerging Competitive Telecommunications Services, Facilities-Based Interexchange Carrier, Transport Providers, Operator Service Provider, Wholesale Provider and Registered Toll Resellers. If you are not sure whether a specific telecommunications service is regulated by the Commission, please refer to §§ 40-15-201, 301, 302.5, 401, and 501, C.R.S. for more information.
- ✓ Your company must complete the tabs that are applicable to the nature of your business, i.e., CLECs will generally complete all tabs but toll resellers may only complete the first four tabs. CLECs must identify the access lines by zones. **DO NOT REPORT ALL ACCESS LINES IN QWEST's ZONE 1.**
- ✓ If your company is a facility-based CLEC, you **must** complete the Operational Statistic tab.

Failure to file the annual report with the Commission by April 30, 2014, may result in severe penalties, including possible revocation of the provider's Certificate of Public Convenience and Necessity, Letter of Registration, or Toll Reseller Registration; order the underlying facilities-based carriers to disconnect the company from the public switched network; and/or order other combination of the forgoing remedial actions which the Commission deems appropriate.